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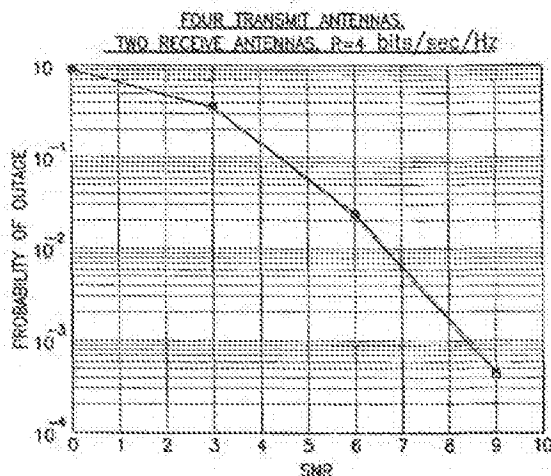
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(54) Title: LOW COMPLEXITY BEAMFORMERS FOR MULTIPLE TRANSMIT AND RECEIVE ANTENNAS



→ SPATIAL WATER-FILLING WITH PERFECT CSIT
→ POWER ALLOCATION QUANTIZED TO 2 BITS

(57) Abstract: Beamforming systems having a few bits of channel state information fed back to the transmitter benefit from low complexity decoding structures and performance gains compared with systems that do not have channel state feedback. Both unit rank and higher rank systems are implemented. Substantial design effort may be avoided by following a method of using functions formulated for space-time systems with the change that the channel coherence time is equated to the number of transmit antennas and the number of antennas in the space-time formulation is fixed at one.

WO 2004/040690 A2



For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

Low Complexity Beamformers for Multiple Transmit and Receive Antennas

TECHNICAL FIELD

The field of the invention is telecommunications, in particular antenna systems for cellular systems.

BACKGROUND OF THE INVENTION

Various beamforming schemes for wireless systems equipped with multiple transmit and multiple receive antennas are known in the art. At present, space time coding schemes are currently proposed for multiple antenna systems.

Figure 1, taken from US Patent 6,584,302, assigned to the assignee hereof, presents a transceiver that has a group of antenna elements 200-204 for transmitting and receiving. The transceiver is usually a base station but it can also be a subscriber equipment. The antenna with several elements can be an antenna array or some other kind of cluster of antenna elements. Referring to receiver 260, each signal received from each antenna 200-204 enters RF-means 206-210 that convert the radio frequency signal to baseband signals in a known manner. The signals are digitized in A/D-converters 212-216. The digital baseband signals are multiplied by coefficients $W_1 - W_M$ that form the shape of the beam of the antenna in multipliers 218-222. The coefficients $W_1 - W_M$ are digital complex numbers. The receiver searches for the values of the coefficients $W_1 - W_M$ that produce the best reception. Antenna responses are calculated in an antenna response unit 224 for each antenna element. The antenna responses are ranked and a subset of the set of the antenna responses is selected in rank and select unit 226.

A response of an antenna element is similar to an impulse response and is calculated

1 by using correlation. In the correlation a known pseudo-random spreading code is
2 correlated with the received signal L times. L is the number of paths of the multipath
3 propagated signal. After calculating one correlation value the spreading code is
4 shifted by a time difference ΔT , which can be the same as the duration of a chip.

5
6 In the transmitter 262 the subset comprising at least one antenna response is fed to a
7 coefficient unit 230 that calculates the coefficients $a_1 - a_M$ for each antenna element
8 200-204 transmitting a signal. The signal to be transmitted is multiplied by the
9 coefficients using the multipliers 232-236. The signal weighted by the coefficients a_1
10 $-a_M$ is then converted to an analog signal by D/A-converters 238-242. After that, the
11 analog signals are converted to radio frequency signals in RF-means 244-248 and the
12 radio frequency signals are transmitted by the antenna elements 200-204.

13
14 Low receiver complexity is one of the important design goals for downlink
15 transmission where the handset (receiver) is constrained in its computational
16 abilities.

17
18 It is well known that channel state information at the transmitter can enhance the
19 system performance significantly. However, in practical systems, only partial
20 channel information may be available at the transmitter due to the limited nature of
21 the feedback resources

22
23 Hence, it is important to design feedback based transmission schemes for the cases
24 where partial channel information is available at the transmitter. Transmission
25 schemes for single receive antenna systems utilizing quantized channel information
26 have been developed, but are not satisfactory.

27
28
29 SUMMARY OF THE INVENTION
30

1
2 The invention relates to a design criterion and beamformer constructions, which
3 make use of finite rate feedback in the system.

4
5 A feature of the invention is a beamforming scheme for wireless systems equipped
6 with multiple transmit and multiple receive antennas.

7
8 Another feature of the invention is the use of mathematical formalism originally
9 developed for unitary space-time constellations for a beamformer.

10
11 Another feature of the invention is the application of a beamformer construction that
12 is equivalent to a spatial water-filling solution.

13 14 15 BRIEF DESCRIPTION OF THE DRAWING

16
17 Figure 1 illustrates in block diagram form a multiple antenna system according to the
18 prior art.

19
20 Figures 2 - 6 illustrate performance of various configurations.

21 22 23 BEST MODE OF CARRYING OUT THE INVENTION

24
25
26
27 The beamforming schemes presented in this disclosure result in improved
28 performance at provably lower computational complexity compared to the space
29 time coding schemes currently proposed for multiple antenna systems. Low receiver
30 complexity is one of the important design goals for downlink transmission where the
31 handset (receiver) is constrained in its computational abilities.

32
33 It is well known that channel state information at the transmitter can enhance the
34 system performance significantly. However, in practical systems, only partial
35 channel information may be available at the transmitter due to the limited nature of
36 the feedback resources. Hence, it is important to design feedback based transmission

1 schemes for the cases where partial channel information is available at the
2 transmitter. Transmission schemes for single receive antenna systems utilizing
3 quantized channel information have been developed.

4 In this work, we present a design criterion and beamformer constructions which
5 make use of finite rate feedback in the system. In the first part of this disclosure, we
6 present a unit rank beamforming strategy for multiple transmit and multiple receive
7 antenna systems. In the second part, we present an algorithm to extend the
8 beamformer codebook constructions to mimic a spatial water-filling solution with a
9 finite number of feedback bits. We will show that both the schemes result in better
10 performance at lower decoding complexity compared to space time coding. In
11 particular, we can show that unit rank beamforming schemes are useful when the
12 transmission rate is small. In fact, we can show that the unit rank beamforming
13 schemes result in significant performance gains over space time coding schemes
14 when $2^{R/t} / \lambda < 1$, where R is the rate of transmission in bits/sec/Hz, r is the number of
15 receive antennas and t is the number of transmit antennas. When this condition for
16 unit rank beamforming is not met, i.e., for higher transmission rates, we propose
17 higher rank beamforming schemes based on the spatial water-filling algorithm, using
18 finite rate feedback.

19
20 Consider a multiple antenna system with t transmit antennas and r receive antennas,
21 such as that illustrated in Figure 1. Let us suppose that we wish to transmit at a
22 spectral efficiency of R bits/sec/Hz. We denote the $t \times 1$ transmitted vector by X
23 while the $r \times 1$ received vector is denoted by Y . The additive white noise vector is
24 denoted by N while the frequency non-selective Rayleigh fading channel between
25 the transmit antennas and the receive antennas is given by the
26 $r \times t$ matrix H . With this notation, the received signal Y can be expressed as

$$Y = HX + N. \quad (1)$$

1 The channel fading is assumed to be quasi-static over time; i.e., the channel remains
2 constant within a frame while the channel realization is independent from frame to
3 frame. We assume that the channel is known perfectly at the receiver. In practice,
4 good channel estimates can be obtained at the receiver by employing preamble based
5 training in the system. We also assume the existence of an error-free feedback
6 channel from the receiver to the transmitter which carries B bits every frame. For
7 simplicity, power adjustment over time; (i.e., temporal power control) is not
8 performed.

9
10 We will first discuss unit rank beamforming schemes and analyze their performance.
11 Unit rank beamforming schemes are optimal in the sense of minimizing outage
12 probability in the important case when the number of receive antennas is restricted to
13 1. Further, we have shown that unit rank beamforming with multiple receive
14 antennas is optimal in the sense of minimizing the pair-wise codeword error
15 probability. Additionally, unit rank beamforming schemes result in simple decoding
16 structures with low computational complexity.

17
18 We have shown that transmission along the dominant eigenvector of the channel
19 minimizes the pairwise codeword error probability in the system. It has also been
20 shown that the transmission along the dominant eigenvector of the channel
21 maximizes received SNR while resulting in maximum diversity. We refer to this
22 transmission strategy as the unit rank beamforming scheme.

23
24 It is an advantageous feature of the invention that the decoding complexity of the
25 unit rank beamforming scheme is independent of the number of transmit antennas.
26 Since there is a single stream of data (corresponding to the eigen channel with the
27 best eigen value) the resulting encoder is a scalar encoder and hence independent of
28 the number of transmit antennas. As a result, the corresponding decoder is also a
29 scalar decoder and hence the decoding complexity is independent of the number of
30 the transmit antennas. In contrast, space time codes encode across all the transmit

antennas in a joint fashion, thus resulting in a vector encoder whose order is given by the number of transmit antennas. In such a case, the corresponding vector decoder's complexity is exponential in the number of transmit antennas.

Consider the example of a finite size beamformer codebook given by $\mathbf{C} = \{\mathbf{C}_1, \mathbf{C}_2, \dots, \mathbf{C}_N\}$. We can show that the quantizer which minimizes the outage probability is given by

$$\min_{C \in \mathcal{C}} \|HC\|_2^2, \quad (2)$$

where $\|\cdot\|_2$ represents the l_2 norm on \mathbb{C}^N . Hence, a given channel realization H will be mapped to the beamforming vector C_1 which minimizes expression (2). It can also be shown that as N gets large, the quantization rule given by (2) leads to the dominant eigenvector of the channel. This follows from the Rayleigh quotient, which states that $\|HV\|_2$ is maximized when V is the dominant eigenvector of $H^H H$.

We can further establish a lower bound on the outage performance of the unit rank beamforming scheme when the beamforming codebook size is constrained to $N=2^B$ vectors. In particular, for t transmit antennas and $r=2$ receive antennas, we can show that the outage probability of the system is bounded below as follows:

$$P_{\text{conf}}(R, P) \geq 1 - N(1 + \gamma_0)e^{-\gamma_0} + e^{-\gamma_1} \left(\sum_{k=0}^{2t-1} \frac{N(1 + \gamma_0)(\gamma_1 - \gamma_0)^k - \gamma_1^k}{k!} \right) - Ne^{-\gamma_1} \gamma_0 \frac{(\gamma_1 - \gamma_0)^{2t-1}}{(2t-1)!} \quad (3)$$

1 Where $\gamma_0 = \frac{2^R - 1}{P}$ and γ_i is a function of N , t and γ_0 .

2 Hence, with the above quantization rule, all the beamformer constructions which
 3 were known for a single receive antenna can be adapted for multiple receive
 4 antennas also. The design criterion for good beamformer codebooks in the case of
 5 single receive antenna is therefore given by

$$\min_c \max_{i,j:i \neq j} |\langle C_i, C_j \rangle|. \quad (4)$$

6

7

8 Under appropriate circumstances, the above design criterion is mathematically
 9 equivalent to the design criterion of unitary space time constellations for non-
 10 coherent constellations. Hence, all the constructions available for unitary
 11 constellation design can also be used for the beamformer design problem with the
 12 quantization metric given by (2).

13 Figure 2 shows the performance of the quantized unit rank beamformers with four
 14 transmit antennas and two receive antennas transmitting at $R=2$ bits/sec/Hz (curves
 15 104 and 106). The performances of a space-time coding scheme which does not use
 16 any channel state information (curve 110) as well as the spatial water-filling solution
 17 which requires complete channel state information (curve 102) are also given for
 18 comparison. With 6 bits of feedback information (curve 106), we see a gain of over
 19 2.5 dB for the unit rank beamforming scheme over the space time coding scheme at
 20 an outage performance of 10^{-2} . The gains increase further as the number of feedback
 21 bits is increased. Note that we can potentially gain up to 4dB over space time codes
 22 using unit rank beamforming schemes. Further, the gap between the unit rank
 23 beamforming scheme (curve 104) and the higher rank water-filling scheme (curve
 24 102) is less than 0.4dB for this rate of transmission. The performance gains are in
 25 addition to significant reduction in complexity for the beamforming scheme over the
 26 space time coding as already explained. Further, the performance of dominant

1 eigenvector beamforming (curve 104) which is the limit of the unit rank
2 beamforming as the number of beamforming vectors gets large is also given in
3 Figure 2.

4 In the next section, we will present higher rank beamforming schemes (spatial water-
5 filling) with finite rate feedback, which provide significant performance gains over
6 space time codes as well as unit rank beamforming schemes when the transmission
7 rate is increased (in particular, when $2^{R/t}/t < 1$, where R is the rate of transmission, r
8 is the number of receive antennas and t is the number of transmit antennas).

9

10 We now propose an algorithm to extend the unit rank beamforming approach for
11 multiple receive antennas to a quantized spatial water-filling approach for the case of
12 two receive antennas. The algorithm can be easily extended to the case of more than
13 two receive antennas. Next generation handsets are expected to be equipped with no
14 more than two antennas, due to size and cost constraints. Hence, the case of two
15 receive antennas is important for downlink transmission in cellular systems.

16

17 For the case of a spatial water-filling solution, the transmitter needs to possess
18 information about the eigenvectors as well as the eigenvalues of $H^H H$. Note that
19 the knowledge of the relative value of the eigenvalues (e.g. ratio of the eigenvalues)
20 will not suffice for the water-filling power allocation. The invention employs a
21 quantizer solution in which the eigenvectors and the power allocation vector are
22 quantized independently. This separation imposes certain structure on the quantizer
23 design, which advantageously reduces the complexity of implementation of the
24 quantizer in practice.

25 In the case of two receive antennas ($r = 2$), $H^H H$ can at most have two non-zero
26 eigenvalues. Hence, the knowledge at the transmitter should comprise these two
27 eigenvectors (corresponding to non-zero eigenvalues) as well as the corresponding
28 eigenvalues. The inventors have realized that significant savings in feedback

1 resources can be obtained if the power allocation is made at the receiver and the
2 information about the power distribution in the two eigen channels is passed back to
3 the transmitter. Further, there is no loss in information if the power distribution
4 vector P_1, P_2 is normalized to unity since the total power available (P) is known at
5 the transmitter. Hence, we can design a computationally simple quantizer for the
6 power allocation vector. Further, we have observed that a 2 bit quantizer effectively
7 conveys all the information required for the power allocation at the transmitter.
8 Additionally, we can gain up to one bit in feedback resources by noting that P_1
9 corresponding to the dominant eigenvector is always greater than or equal to P_2
10 corresponding to the other eigen channel. The quantizer for the power distribution
11 vector is given in Table 1. Note that we set $P_2 = k P_1$, where $0 \leq k \leq 1$, with $P_1 \geq 0.5P$
12 , where 2 bits are used to describe k .

13

14

Table 1: Quantizer used for the power allocation vector in the case of 4 transmit antennas and 2 receive antennas.

| Water-filling solution | k |
|--------------------------------------|---------------|
| $0.75 \leq \frac{P_2}{P_1} \leq 1$ | 1 |
| $0.5 \leq \frac{P_2}{P_1} \leq 0.75$ | $\frac{1}{2}$ |
| $0.25 \leq \frac{P_2}{P_1} \leq 0.5$ | $\frac{1}{5}$ |
| $0 \leq \frac{P_2}{P_1} \leq 0.25$ | 0 |

The effect of quantizing the power allocation vector to 2 bits as given in Table 1 can be seen in Figure 3 for the case of 4 transmit antennas and 2 receive antennas. We assume that the eigenvectors are known perfectly at the transmitter for this simulation to study the effects of quantization of the power allocation vector. Figure 3 shows the result of a two bit quantizer configured with perfect channel information. It can readily be seen that the two curves are essentially identical, so that the performance loss of the 2 bit power quantizer is negligible compared to the case of perfect channel state information.

We will now discuss the quantization of the two active eigenvectors of $H^H H$. Consider a finite size beamformer codebook \mathcal{C} of size N constructed as described in the previous section. We can first apply the quantization rule introduced in the last section to determine the best approximation to the dominant eigenvector among the

available vectors in \mathcal{C} . Note that the specification of this vector at the transmitter requires $\log_2(N)$ feedback bits. However, we can gain substantially in the specification of the second eigenvector by noting the following useful property.

Note that the eigenvectors of $H^H H$ lie in \mathbb{C}^t . Further, the eigenvectors are all mutually orthogonal. Hence, the specification of the first eigenvector determines the subspace which contains the second active eigenvector. In particular, the second eigenvector lies in the $t-1$ dimensional subspace which is orthogonal to the principal eigenvector. Hence, we can improve the description of the second vector significantly by constructing a second codebook in $t-1$ dimensions instead of the original t dimensional space.

However, it is not desirable to modify the composition of the codebook of the second eigenvector based on the first eigenvector, since the orthogonal subspace containing the second vector depends on the principal eigenvector. We therefore present an algorithm where both the beamformer codebooks are independent of the actual channel realization.

Let C_1 be a beamformer codebook in \mathbb{C}^t comprising of $N_1=2^{B_1}$ vectors. Similarly, let C_2 be a beamformer codebook in \mathbb{C}^{t-1} comprising of $N_2=2^{B_2}$ vectors. Let H be the channel realization, while V_1 and V_2 are the active eigenvectors of $H^H H$.

We first quantize V_1 in C_1 using the quantization rule discussed in the last section. In particular, we pick $C_1^i \in C_1$ (note that the superscript corresponds to the codebook index) such that $\|H(C_1^i)\|_2$ is the maximum for all the vectors in C_1 . Without loss of generality, we assume that C_1^i maximizes the inner product with H among all the vectors in C_1 .

Now, consider the vectors in C_2 . We construct a codebook C_2' from C_2 such that C_2' lies in \mathbb{C}^t . Hence, C_2 is an embedding of C_2' in \mathbb{C}^{t-1} . By construction, C_2' is such that the first co-ordinate of all the vectors is set to zero. Hence, the vectors in C_2' lie

1 in the orthogonal subspace of the axis $[1, 0, \dots, 0]$ of \mathbb{C}^t . Further, the embedding rule
 2 of C_2' into C_2 is that the first co-ordinate of C_2' is dropped to obtain the
 3 corresponding vector in C_2 . Hence, if $C_1^{2*} = [0, c_1, c_2, \dots, c_{t-1}]$, then the corresponding C_1^{2*}
 4 in C_2 is given by $[c_1, c_2, \dots, c_{t-1}]$.

5 Now, we make use of the property that C_2' is in the orthogonal subspace of
 6 $e_1 = [1, 0, \dots, 0]$ in \mathbb{C}^t . In particular, we rotate the vectors in C_1 such that C_1^1 coincides
 7 with e_1 . Let A be a $t \times t$ unitary matrix, constructed in a predetermined fashion from
 8 C_1^1 such that $AC_1^1 = e_1$. Now, we rotate the channel matrix H by the same matrix A
 9 before we quantize the second vector. Equivalently, we rotate the second vector V_2
 10 by the matrix A to give $V_2' = AV_2$. Now, we quantize V_2' in the second beamformer
 11 codebook C_2^{2*} . Suppose C_k^{2*} is the vector in C_2^{2*} which maximizes the inner product
 12 with V_2' . Then, the transmitter gets the label k and the transmitter uses $A(C_k^{2*})^T$ for
 13 transmission, where the superscript T stands for matrix transpose operation. Note
 14 that A is a function of C_1^1 only and since the transmitter has information about C_1^1
 15 via the feedback channel, the matrix A can be reproduced at the transmitter. Hence,
 16 both the resulting codebooks, C_1 and C_2 are independent of the actual channel
 17 realization.

18

Table 2: Table showing the decoding complexity as a function of the number of
 transmit antennas (t), receive antennas (r) and number of points in the modulation
 constellation ($|Q|$).

| Transmission scheme | Decoding complexity |
|-----------------------|----------------------------|
| Space time coding | $\propto r Q ^t$ |
| Unit rank beamforming | $\propto r Q $ |
| Spatial water-filling | $\propto r Q ^{\min(t,r)}$ |

1
2 Note that the quantized spatial water-filling solution requires joint coding and
3 decoding across the active eigen channels. Hence, in the case of four transmit and
4 two receive antennas which results in two active eigen channels, we will need joint
5 coding across the two eigen channels. For instance, space time coding of rank 2
6 could be used to achieve the performance depicted in the next section. In the absence
7 of channel state information, we would require a space time code of rank 4
8 corresponding to the four transmit antennas. Note that the decoding complexity of
9 space time codes is exponential in the rank of the code. Hence, the quantized spatial
10 water-filling solution results in significantly lower decoding complexity compared to
11 the space-time coding, in addition to the benefits obtained in performance gains. The
12 dependence of the decoding complexity on the number of transmit antennas and the
13 number of receive antennas is shown in Table 2.

14 The performance of the quantized water-filling solution with 4 transmit antennas and
15 2 receive antennas is given in Figure 3. The figure shows the performance of a
16 quantized water-filling scheme in comparison with the perfect information water-
17 filling scheme, space time coding and perfect information eigenvector beamforming,
18 all transmitting at the rate of $R=6$ bits/sec/Hz. For the quantized beamforming
19 scheme, we have used 2 bits for spatial power control information, using the
20 quantizer given in table 1. We observe the performances of two different codebook
21 constructions in Figure 3. In the first case, the codebook C_1 was constructed in 4
22 dimensions with 16 vectors while the codebook C_2 was constructed in 3 dimensions
23 with 16 vectors, thus requiring 3 feedback bits for each codebook. Hence, a total of
24 10 bits of feedback was used for this scheme. With 10 feedback bits, we note that we
25 are just about 1 dB away from perfect feedback information while we obtain a gain
26 of about 2 dB over space time coding. For the case of 8 feedback bits, we use 2 bits
27 for spatial power control. Again, C_1 is in 4 dimensions, now with 8 vectors, while C_2
28 is in 3 dimensions with 8 vectors, thus requiring 3 bits each. With 8 feedback bits,

1 we observe a gain of about 1.5 dB over the space time coding scheme. It should also
2 be pointed out that the unit rank beamforming scheme performs worse than the space
3 time code in this case.

4
5 The beamforming schemes for multiple transmit and receive antenna systems
6 presented above apply when only partial channel state information is available at the
7 transmitter. The unit rank beamforming solution results in a low complexity
8 decoding structures as well as performance gains over channel agnostic space time
9 coding schemes. An algorithm for implementing higher rank transmission schemes,
10 such as a spatial water-filling solution, using low complexity quantizers has also
11 been illustrated. In all the cases, a few bits of channel state information at the
12 transmitter can lead to substantial performance gains as well as reduction in
13 decoding complexity.

14
15 In the next-section, we will show that the design of good beamformers for a multiple
16 transmit and a single receiver system can be posed as the design of unitary space
17 time constellations. The design of the unitary space time constellation is a dual
18 problem of the design of good beamformers with the coherence time in the case of
19 the unitary space time constellation given by the number of transmit antennas in the
20 case of the beamformer design problem. Also, the number of transmit antennas in the
21 equivalent unitary space time constellation design problem is set to unity (which is
22 the number of receive antennas for the beamforming problem). We will establish the
23 equivalence in the sequel and demonstrate the hitherto unknown use of unitary space
24 time constellation as a beamformer with the help of an example. We will use the
25 lower bound outage performance of beamformers for evaluating the performance of
26 the unitary space time constellation as a beamformer.

27
28 Unitary space time constellations for multiple antenna systems were introduced by
29 Marzetta and Hochwald in "Capacity of a mobile multiple-antenna communication

link in rayleigh flat fading", IEEE Transactions on Information Theory, pp 139 –
 157, January, 1999. In particular, they showed that the unitary space time
 constellations achieve the capacity of multiple antenna systems when the channel
 information is not available at both the transmitter and the receiver. The design
 criterion for unitary space time constellations to minimize the probability of pair-
 wise error probability was given in "Unitary space-time modulation for multiple-
 antenna communications in rayleigh flat fading", IEEE Transactions on Information
 Theory, vol 46, pp. 543-564, March 2000. A unitary space time constellation consists
 of signals
 $V_1, V_2, V_3, \dots, V_N$ where $V_i \in \mathbb{C}^{T \times M}$. Here T is the block length of the code (less than or
 equal to the coherence time of the channel) and M has the interpretation of number
 of transmit antennas. Also, $V_i^H V_i = I$ for each i, for unitarity. It was shown that the
 design criterion for good unitary space time constellations is to minimize δ , where
 δ is defined as

$$\delta = \max_{1 \leq i < j \leq N} \|\Phi_i^H \Phi_j\|, \quad (1)$$

where the norm used above is a scaled Frobenius norm of a matrix, the scaling factor
 being given by M in this case.

Now consider the design of a good beamformer comprising N vectors for a system
 with n transmit antennas and a single receive antenna. It can be shown that the
 design criterion for good beamformers is

$$\min_c \max_{1 \leq i < j \leq N} |\langle C_i, C_j \rangle|, \quad (2)$$

where $C_i \in \mathbb{C}^N$. The design criterion for unitary space time constellations given in (1) reduces to the design criterion of beamformers given in (2), if we set $T=n$ and $M=1$ in (1). We see an equivalence between coherence time, in the unitary constellation design problem, and the number of transmit antennas, in the beamforming design problem.

Systematic unitary space time constellation as beamformer

The design criterion for beamformers which was introduced in the previous section is quite general and an exhaustive computer search can be used to construct a good beamformer containing a given number of beamforming vectors. We now look at a particular way of designing these beamformers, viz., using a Fourier based approach for unitary space time constellations. Hochwald et al. in "Systematic design of unitary space-time constellations" IEEE Transactions on Information Theory, vol. 46, pp. 1962-1973, September 2000, considered the problem of imposing structure on the unitary space time constellations for easier encoding/decoding as well as to reduce the dimensionality of the search space during the design process. The equivalence of good beamformers with good unitary space time constellations established in the previous section reveals the hitherto unknown properties of the systematic constructions. We will show that the unitary space time constellations designed by Hochwald et al. The cited reference serve as good beamformers for the dual problem with the new meaning of the number of transmit antennas attached to coherence time as discussed above.

Consider the set of linear block codes defined by the $K \times T$ generator matrix U , whose elements are in R_q , ring of integers modulo- q . The code \mathcal{C} represented by U comprises codewords C_i given by $C_i = IU$, where I is a $1 \times K$ vector with elements taken from R_q . Thus, the size of the codebook is given by $|\mathcal{C}| = q^K$. The codewords are mapped into signals by mapping the integers in the codeword into components of a complex signal via the transformation

$$\phi(j) = \frac{1}{\sqrt{T}} e^{i \frac{2\pi}{q} j}, j = 0, 1, \dots, q-1. \quad (3)$$

Finally, the unitary space time constellation is given by

$$\Phi_l = \phi(C_l) \quad (4)$$

$$= \frac{1}{\sqrt{T}} \begin{bmatrix} e^{i \frac{2\pi}{q} |C_l|_1} \\ e^{i \frac{2\pi}{q} |C_l|_2} \\ \vdots \\ e^{i \frac{2\pi}{q} |C_l|_r} \end{bmatrix}, 1 \leq l \leq N$$

Suppose, we wish to design a beamformer comprising of $N=16$ vectors for $n=8$ transmit antennas transmitting at 2 bits/sec/Hz and a single receive antenna. Then the corresponding dual problem of designing unitary space time constellation reduces to designing a codebook of size $N=16$ with a single transmit antenna (i.e., $M=1$) and coherence time given by $T=8$. One of the codes designed for this problem in the cited reference is characterized by $U=[1 \ 0 \ 3 \ 14 \ 15 \ 11 \ 10 \ 8]$, $K=1$ and $q=16$.

The performance of this beamformer is given in Figure 5. The rate of transmission is $R=2$ bits/sec/Hz. The corresponding performance predicted by the lower bound on outage is also given in the figure. It can be seen that the performance of the constructed beamformer comes very close (less than 0.05dB away) to the corresponding lower bound on outage probability. The performance of space time codes, which do not require any feedback information, is also given in the plots for reference. Note that there is gain of about 4dB with 4 bits of feedback compared to the space time codes. It should also be noted that there will be gains from reduced

1 receiver complexity also from the beamforming schemes which are not quantified in
2 this document.

3 A similar construction taken from the cited reference again for $n=8$ transmit antennas
4 and $N=64$ beamforming vectors is given in Figure 6. The unitary space time
5 constellation in this case is characterized by $N=64$, $T=8$, $K=3$, $q=4$ and $U = [I_3 \ U']$,
6 where I_3 is the 3×3 identity matrix and U' is given by

$$U' = \begin{bmatrix} 2 & 3 & 3 & 3 & 0 \\ 2 & 0 & 3 & 1 & 1 \\ 0 & 3 & 2 & 3 & 3 \end{bmatrix} \quad (5)$$

7
8
9 For the case of 64 beamforming vectors, we present another straight-forward
10 beamforming scheme for comparison. We use 1 bit to quantize the phase information
11 of each one of the channel coefficients, leading to 8 bits in all, for 8 channel
12 coefficients. The performance of this beamformer is also plotted in Figure 6. It can
13 be seen that the performance of the constructed beamformer is again less than
14 0.05dB away from the corresponding bound. Further, the gain compared to the
15 space time coding scheme now increases to about 6 dB. It can be observed from the
16 plot there is lot of gain compared to the phase quantization scheme also. This shows
17 that the systematic unitary space time constellations serve as very good
18 beamformers. Some more constructions of the beamformers for $n=8$ transmit
19 antennas can be obtained from the cited reference for the cases of $N=133$, 256, 529,
20 1296 and 2209 vectors.

WE CLAIM:

1. A method of forming a beam of a signal to be transmitted from a base station transceiver in a communication system having a communication channel between a base station and a mobile station and a return channel for data transmitted from the mobile station to the base station, the method comprising:
 - Providing a codebook (C) of parameters that modify a transmitted signal;
 - Providing a channel matrix (H) of parameters representing the properties of the channel;
 - transmitting a signal from the base station along a channel using an antenna comprising at least two elements;
 - Receiving said transmitted signal in said mobile station and estimating a parameter in the channel matrix characteristic of the channel by selecting the value of a parameter in the codebook that minimizes a criterion;
 - transmitting an indication of the selected parameter over the return channel and
 - applying the codebook vector associated with the selected parameter to subsequent transmissions from the base station.
2. A method according to claim 1, in which an eigenvector of said channel matrix is provided by a calculation based on said parameter.
3. A method according to claim 2, in which said calculation is performed in said mobile station.
4. A method according to claim 1, in which said base station transmits a set of initial setup signals that are used by the mobile station to estimate the parameters of the channel.
5. A method according to claim 4, in which an eigenvector of said channel matrix is provided by a calculation based on said parameter.
6. A method according to claim 5, in which said calculation is performed in said mobile station.
7. A method according to claim 1, in which the signal is divided into frames and the process of estimating a parameter, transmitting an indication of the selected parameter and applying the codebook vector is repeated for each frame.
8. A method according to claim 7, in which an eigenvector of said channel matrix is provided by a calculation based on said parameter.
9. A method according to claim 8, in which said calculation is performed in said mobile station.

- 1 10. A method according to claim 1, in which said base station transmits a set of initial setup
2 signals that are used by the mobile station to estimate the parameters of the channel.
- 1 11. A method according to claim 10, in which an eigenvector of said channel matrix is
2 provided by a calculation based on said parameter.
- 1 12. A method according to claim 11, in which said calculation is performed in said mobile
2 station.
- 1 13. A method of forming a beam of a signal to be transmitted from a base station transceiver
2 in a communication system having a communication channel between a base station and a
3 mobile station having two antennas and a return channel for data transmitted from the mobile
4 station to the base station, the method comprising:
5
6 Providing a codebook (C) of parameters that modify a transmitted signal;
7 Providing a channel matrix (H) of parameters representing the properties of the channel;
8 transmitting a signal from the base station along two eigenvectors of a channel, the power
9 allocation between said two eigenvectors being quantized independently from the
0 quantization of the eigenvectors.
- 1 14. A method according to claim 13, in which the quantization of the power allocation is
2 performed at the receiver.
- 1 15. A method according to claim 13, in which $P_1 = kP_2$, where $0 \leq k \leq 1$, P_1 is
2 the power in the dominant eigenvector and k is selected from the group comprising 1, $\frac{1}{2}$, $\frac{1}{5}$, and
3 0 when $R = \frac{P_2}{P_1}$ is correspondingly ≥ 0.75 , $0.5 < R < 0.75$, $.25 < R < 0.5$ and $0 < R < .25$.
- 1 16. A method according to claim 13, in which the dominant eigenvector is quantized by
2 calculating the eigenvector in the relevant codebook that maximizes $\|H(C_i^T)\|_2$.
- 1 17. A method according to claim 16, in which the second of two eigenvectors is calculated by
2 finding that vector in an orthogonal subspace to the first eigenvector that maximizes the inner
3 product with a beamformer codebook in the orthogonal subspace to the first codebook.
- 1 18. A method according to claim 16, in which the quantization of the power allocation is
2 performed at the receiver.
- 1 19. A method according to claim 16, in which which $P_1 = kP_2$, where $0 \leq k \leq 1$, P_1 is
2 the power in the dominant eigenvector and k is selected from the group comprising 1, $\frac{1}{2}$, $\frac{1}{5}$, and
3 0 when $R = \frac{P_2}{P_1}$ is correspondingly ≥ 0.75 , $0.5 < R < 0.75$, $.25 < R < 0.5$ and $0 < R < .25$.

- 1 20. A method of constructing a beamformer comprising the steps of:
- 2 Providing a unitary space-time constellation of at least one signal, having a coherence time T
- 3 and one transmit antenna and applying the constellation as a set of at least one beamforming
- 4 vectors in an array of T antennas.

- 1 21. A method according to claim 20, in which said set of at least one functions have the form

- 2
$$V_j = \frac{1}{\sqrt{n}} \exp\left(\frac{i2\pi j}{N}\right) \text{ where } j = 0, 1, 2, \dots, N-1.$$

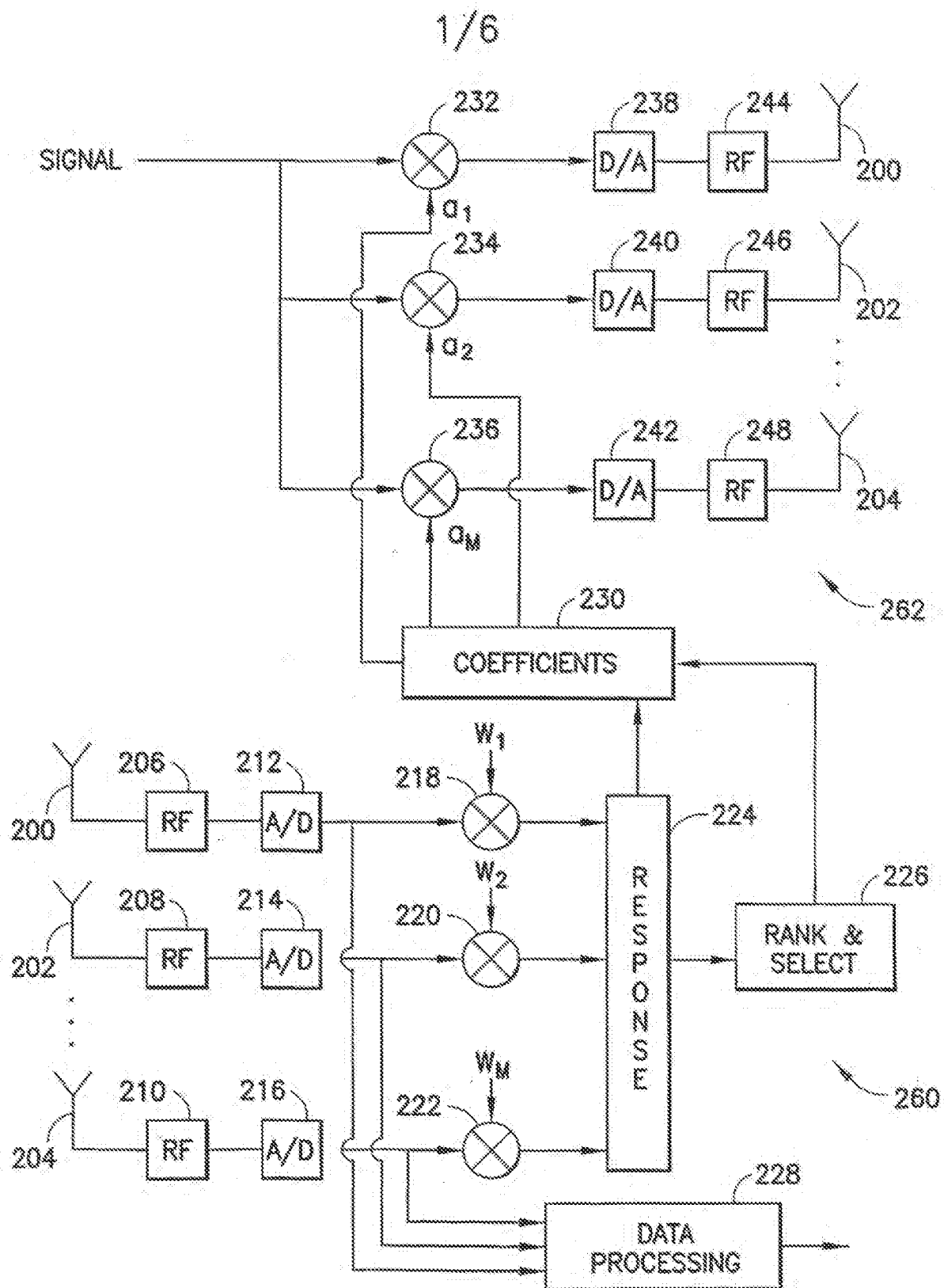
- 1 22. A method of constructing a beamformer of N vectors comprising the steps of:

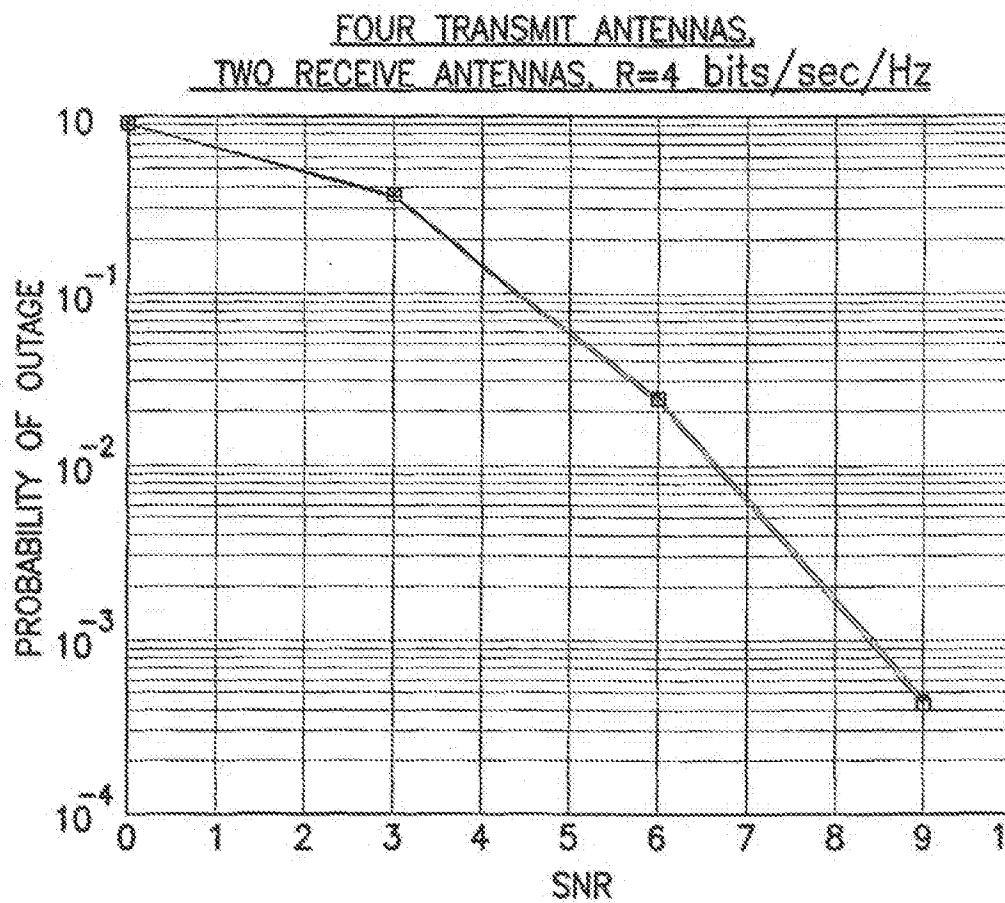
- 2 Providing a transmitter system having n transmit antennas;
- 3 Forming a set of N functions in a unitary space time constellation with one antenna and a
- 4 coherence time of n; and
- 5 Applying said set of N functions as a set of N beamforming vectors.

- 1 23. A method according to claim 22, in which said set of N functions have the form

- 2
$$V_j = \frac{1}{\sqrt{n}} \exp\left(\frac{i2\pi j}{N}\right) \text{ where } j = 0, 1, 2, \dots, N-1.$$

- 1 24. A method according to claim 20, of forming a beam of a signal to be transmitted
2 from a base station transceiver in a communication system having a communication
3 channel between a base station and a mobile station and a return channel for data
4 transmitted from the mobile station to the base station, the method comprising:
5
6 Providing a codebook (C) of parameters that modify a transmitted signal according to
7 claim 20;
8 Providing a channel matrix (H) of parameters representing the properties of the channel;
9 transmitting a signal from the base station along a channel using an antenna
10 comprising at least two elements;
11 Receiving said transmitted signal in said mobile station and estimating a parameter in the
12 channel matrix characteristic of the channel by selecting the value of a parameter in the
13 codebook that minimizes a criterion; transmitting an indication of the selected parameter
14 over the return channel and
15 applying the codebook vector associated with the selected parameter to subsequent
16 transmissions from the base station.
17





- SPATIAL WATER-FILLING WITH PERFECT CSIT
- +— POWER ALLOCATION QUANTIZED TO 2 BITS

FIG.3

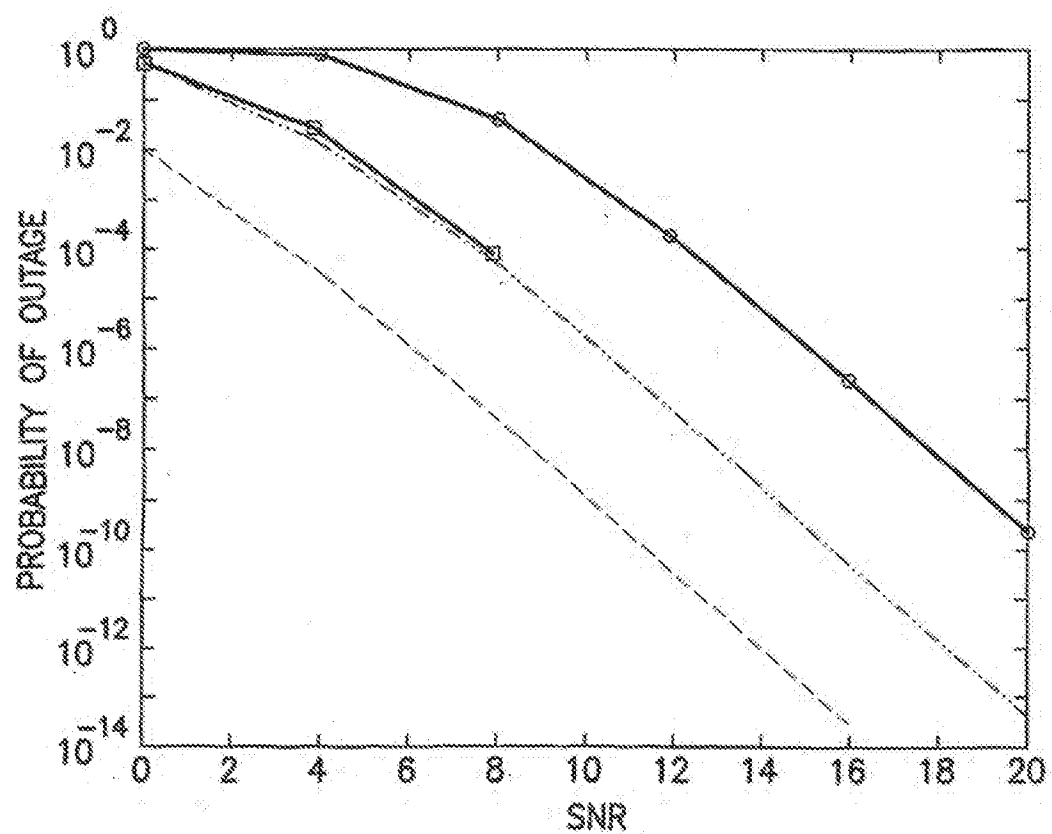


FIG. 5

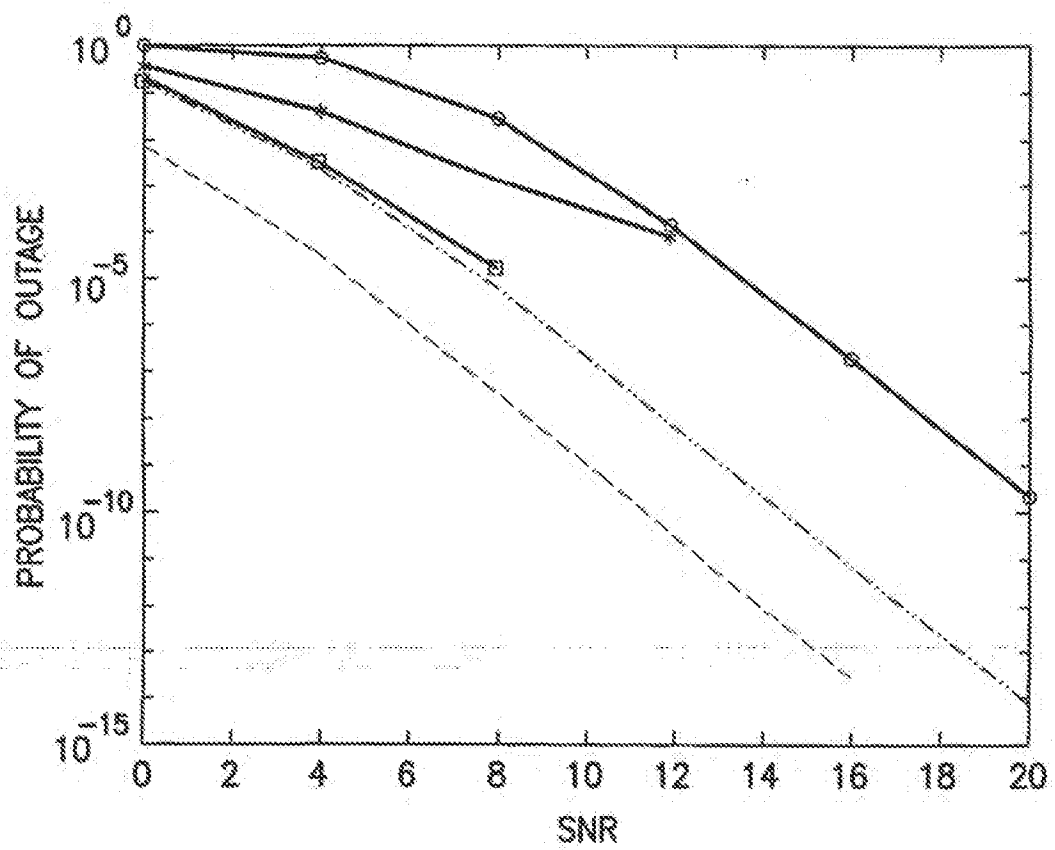


FIG.6

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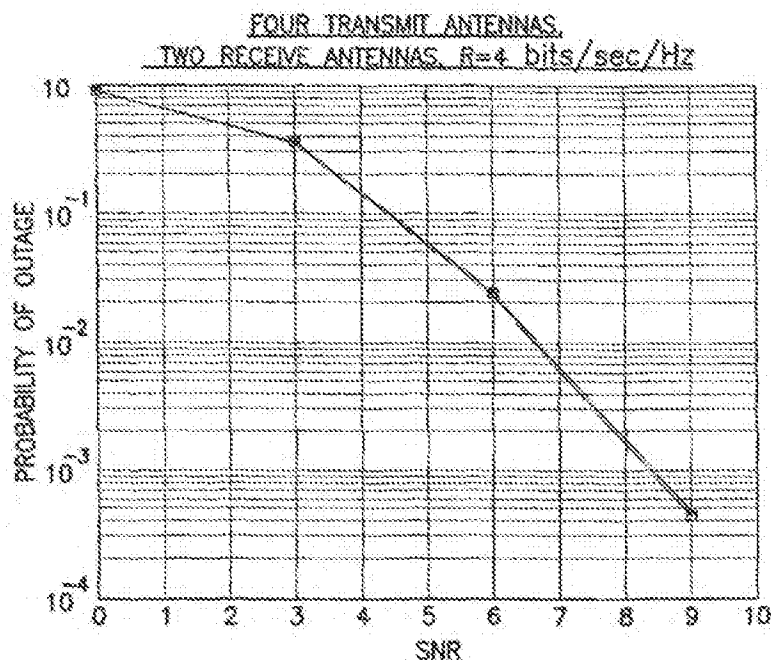
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(54) Title: LOW COMPLEXITY BEAMFORMERS FOR MULTIPLE TRANSMIT AND RECEIVE ANTENNAS



○ SPATIAL WATER-FILLING WITH PERFECT CSIT
+ POWER ALLOCATION QUANTIZED TO 2 BITS

(57) Abstract: Beamforming systems having a few bits of channel state information fed back to the transmitter benefit from low complexity decoding structures and performance gains compared with systems that do not have channel state feedback. Both unit rank and higher rank systems are implemented. Substantial design effort may be avoided by following a method of using functions formulated for space-time systems with the change that the channel coherence time is equated to the number of transmit antennas and the number of antennas in the space-time formulation is fixed at one.

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| A,P | US 2003/0181170 A1 (SIM) 25 September 2003, see entire document. | 1-24 |
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